

#..SEC-24

System name:

Freedom of Information Act Requests--SEC.

System location:

Securities and Exchange Commission, Operations
Center, 6432 General Green Way, Alexandria, VA 22312-2413.

Categories of individuals covered by the system:

Records are maintained on persons requesting files, documents or other information from the Commission pursuant to provisions of the Freedom of Information Act, 5 U.S.C. 552 et seq., as amended.

Categories of records in the system:

Records identify the individual requesting access to information, and the information sought and also may describe the individual's reasons for seeking the information.

Authority for maintenance of the system:

5 U.S.C. 552, et seq., as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records and the information contained in these records may be used for the following:

1. By SEC personnel to process requests made under the Freedom of information Act, as amended.
2. As a data source for management information for production of summary descriptive statistics and analytical studies in support of the function for which the records are collected and maintained or for related personnel management functions or manpower studies; may also be utilized to respond to general requests for statistical information (without personal identification of individuals) under the Freedom of Information Act or to locate specific individuals for personnel research or other personnel management functions.
3. In connection with any litigation challenging or seeking to enjoin actions by the Commission under the Freedom of Information Act, as amended. Records or information in the records in this system may be disclosed as a routine use to any person who is or has agreed to be subject to the Commission's rules of conduct, 17 CFR 202.785-1 et seq., and who assists in the investigation by the Commission of possible violations of Federal securities laws (as defined in section 21(g) of the Securities Exchange Act of 1934, 15 U.S.C. 78u(g)), in the preparation or conduct of enforcement actions brought by the Commission for such violations, or otherwise in connection with the Commission's enforcement or regulatory functions under the Federal securities laws. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

These records are maintained in hard copy form. Retrievability: These records are indexed by name. Access to and use of these records is limited to those persons whose duties require such access.

Safeguards:

These records are kept in a locked office in a building having a 24-hour security guard.

Retention and disposal:

Records are retained according to the General Records Schedule, published by the National Archives and Records Administration.

System manager(s) and address:

Freedom of Information Act Officer, Office of Freedom of Information and Privacy Act Operations, Securities and Exchange Commission, Operations Center, 6432 General Green Way, Mail Stop 0-5, Alexandria, VA 22312-2413.

Notification procedure:

All requests to determine whether this system of records contains a record pertaining to the requesting individual may be directed to the Privacy Act Officer, Securities and Exchange Commission, Operations Center, 6432 General Green Way, Mail Stop 0-5, Alexandria, VA 22312-2413.

Record access procedures:

Persons wishing to obtain information on the procedures for gaining access to or contesting the contents of these records may contact the Privacy Act Officer, Securities and Exchange Commission, Operations Center, 6432 General Green Way, Mail Stop 0-5, Alexandria, VA 22312-2413.

Contesting record procedures:

See Record access procedures above.

Record source categories:

Communications from individuals for information pursuant to the Freedom of Information Act, as amended.